

B 210A (Form 210A) (12/09)

## UNITED STATES BANKRUPTCY COURT

Southern District of New York

In re Lehman Brothers Holdings, Inc.,

Case No. 08-13555 (JMP)

### TRANSFER OF CLAIM OTHER THAN FOR SECURITY

A CLAIM HAS BEEN FILED IN THIS CASE or deemed filed under 11 U.S.C. § 1111(a). Transferee hereby gives evidence and notice pursuant to Rule 3001(e)(2), Fed. R. Bankr. P., of the transfer, other than for security, of the claim referenced in this evidence and notice.

SMBC Nikko Securities Inc.

Name of Transferee

Name and Address where notices to transferee should be sent:

\*\*SMBC Nikko Securities Inc., 3-1  
Marunouchi 3-chome, Chiyoda-ku, Tokyo  
100-8325 Japan  
Attn: Hideyuki Shinike

Phone: 81-3-5644-3111

Last Four Digits of Acct #: \_\_\_\_\_

Name and Address where transferee payments should be sent (if different from above):

SMBC Nikko Securities Inc., 3-1  
Marunouchi 3-chome, Chiyoda-ku, Tokyo 100-8325  
Japan

Attn: Hideyuki Shinike

Phone: 81-3-5644-3111

Last Four Digits of Acct #: \_\_\_\_\_

Nikko Cordial Securities Inc.

Name of Transferor

Court Claim # (if known): 45941

Amount of Claim: \$946,342.38

Date Claim Filed: 10/26/2009

Phone: \_\_\_\_\_

Last Four Digits of Acct. #: \_\_\_\_\_

Name and Address where notices to transferee should be sent:

\*\*Ira A. Reid  
Baker & McKenzie LLP  
1114 Avenue of the Americas  
New York, NY 10036

I declare under penalty of perjury that the information provided in this notice is true and correct to the best of my knowledge and belief.

By: *G. Matsumoto*  
Transferee/Transferee's Agent

Date: 04/ 5 /2011

Penalty for making a false statement: Fine of up to \$500,000 or imprisonment for up to 5 years, or both. 18 U.S.C. §§ 152 & 3571.

Form 210B (12/09)

## United States Bankruptcy Court

Southern District Of New York

In re Lehman Brothers Holdings, Inc., Case No. 08-13555 (JMP)

### NOTICE OF TRANSFER OF CLAIM OTHER THAN FOR SECURITY

Claim No. 45941 (if known) was filed or deemed filed under 11 U.S.C. § 1111(a) in this case by the alleged transferor. As evidence of the transfer of that claim, the transferee filed a Transfer of Claim Other than for Security in the clerk's office of this court on \_\_\_\_\_ (date).

Nikko Cordial Securities Inc.  
Name of Alleged Transferor

Address of Alleged Transferor:  
Marunouchi 3-chome, Chiyoda-ku  
Tokyo 100-8325, Japan

SMBC Nikko Securities Inc.  
Name of Transferee

Address of Transferee:  
Marunouchi 3-chome, Chiyoda-ku  
Tokyo 100-8325, Japan

#### ~~DEADLINE TO OBJECT TO TRANSFER~~

The alleged transferor of the claim is hereby notified that objections must be filed with the court within twenty-one (21) days of the mailing of this notice. If no objection is timely received by the court, the transferee will be substituted as the original claimant without further order of the court.

Date: \_\_\_\_\_

\_\_\_\_\_  
CLERK OF THE COURT

**EVIDENCE OF TRANSFER OF CLAIM**

TO: Clerk of the Court  
United States Bankruptcy Court  
Southern District of New York ("Bankruptcy Court")  
New York, New York

RE: Lehman Brothers Holdings, Inc. ("Debtor")  
Case No. 08-13555 (JMP)

Claim #: 45941

Nikko Cordial Securities Inc. ("Transferor"), for value received, the adequacy and sufficiency of which are hereby acknowledged, does hereby unconditionally and irrevocably transferred and assign to SMBC Nikko Securities Inc., its successors and assigns ("Transferee"), all rights, title and interest in and to the claim of Transferor in the amount of U.S. \$946,342.38 ("Claim") against the Debtor in the Bankruptcy Court, or any other court with jurisdiction over the bankruptcy proceedings of the Debtor.

Transferor hereby waives any objection to the transfer of the Claim to Transferee on the books and records of the Debtor and the Bankruptcy Court, and hereby waives to the fullest extent permitted by law any notice or right to a hearing as may be imposed by Rule 3001 of the Federal Rules of Bankruptcy Procedure, the Bankruptcy Code, applicable local bankruptcy rules or applicable law. Transferor acknowledges and understands, and hereby stipulates that an order of the Bankruptcy Court may be entered without further notice to Transferor transferring to Transferee the Claim and recognizing the Transferee as the sole owner and holder of the Claim, and that all payments or distributions of money or property in respect of the Claim be delivered or made to Transferee.

You are hereby directed to make all future payments and distributions to Transferee, at SMBC Nikko Securities Inc., 3-1, Marunouchi 3-chome, Chiyoda-ku, Tokyo 100-8325, Japan; and to give all notices and other communications, in respect of the Claim to SMBC Nikko Securities Inc., 3-1, Marunouchi 3-chome, Chiyoda-ku, Tokyo 100-8325, Japan, Telephone number: +81-3-5644-3111, [shinike\\_hideyuki@smbc.nikko.co.jp](mailto:shinike_hideyuki@smbc.nikko.co.jp), and Baker & McKenzie LLP, 1114 Avenue of the Americas, New York, NY 10036, Attn: Ira A. Reid, Tele. No. 212-891-3976, [ira.reid@bakermckenzie.com](mailto:ira.reid@bakermckenzie.com).

IN WITNESS WHEREOF, the undersigned has duly executed this Assignment of Claim by its duly authorized representative dated April 5, 2011.

SMBC Nikko Securities Inc., as Transferee:

By: J. Matsumoto  
Jouji Matsumoto  
General Manager of the Legal Division

Nikko Cordial Securities Inc., as Transferor

By: J. Matsumoto  
Jouji Matsumoto  
General Manager of the Legal Division

B 210A (Form 210A) (12/09)

## UNITED STATES BANKRUPTCY COURT

Southern District of New York

In re Lehman Brothers Holdings, Inc.,

Case No. 08-13555 (JMP)

### TRANSFER OF CLAIM OTHER THAN FOR SECURITY

A CLAIM HAS BEEN FILED IN THIS CASE or deemed filed under 11 U.S.C. § 1111(a). Transferee hereby gives evidence and notice pursuant to Rule 3001(e)(2), Fed. R. Bankr. P., of the transfer, other than for security, of the claim referenced in this evidence and notice.

SMBC Nikko Securities Inc.

Name of Transferee

Name and Address where notices to transferee should be sent:

\*\*SMBC Nikko Securities Inc., 3-1  
Marunouchi 3-chome, Chiyoda-ku, Tokyo  
100-8325 Japan  
Attn: Hideyuki Shinike

Phone: 81-3-5644-3111

Last Four Digits of Acct #: \_\_\_\_\_

Name and Address where transferee payments should be sent (if different from above):

SMBC Nikko Securities Inc., 3-1  
Marunouchi 3-chome, Chiyoda-ku, Tokyo 100-8325  
Japan

Attn: Hideyuki Shinike  
Phone: 81-3-5644-3111

Last Four Digits of Acct #: \_\_\_\_\_

Nikko Cordial Securities Inc.

Name of Transferor

Court Claim # (if known): 45942

Amount of Claim: \$961,853.08

Date Claim Filed: 10/26/2009

Phone: \_\_\_\_\_

Last Four Digits of Acct. #: \_\_\_\_\_

Name and Address where notices to transferee should be sent:

\*\*Ira A. Reid  
Baker & McKenzie LLP  
1114 Avenue of the Americas  
New York, NY 10036

I declare under penalty of perjury that the information provided in this notice is true and correct to the best of my knowledge and belief.

By: J. Matsumoto  
Transferee/Transferee's Agent

Date: 04/5/2011

Penalty for making a false statement: Fine of up to \$500,000 or imprisonment for up to 5 years, or both. 18 U.S.C. §§ 152 & 3571.

Form 210B (12/09)

## United States Bankruptcy Court

Southern District Of New York

In re Lehman Brothers Holdings, Inc., Case No. 08-13555 (JMP)

### NOTICE OF TRANSFER OF CLAIM OTHER THAN FOR SECURITY

Claim No. 45942 (if known) was filed or deemed filed under 11 U.S.C. § 1111(a) in this case by the alleged transferor. As evidence of the transfer of that claim, the transferee filed a Transfer of Claim Other than for Security in the clerk's office of this court on \_\_\_\_\_ (date).

Nikko Cordial Securities Inc.  
Name of Alleged Transferor

Address of Alleged Transferor:  
Marunouchi 3-chome, Chiyoda-ku  
Tokyo 100-8325, Japan

SMBC Nikko Securities Inc.  
Name of Transferee

Address of Transferee:  
Marunouchi 3-chome, Chiyoda-ku  
Tokyo 100-8325, Japan

#### ~DEADLINE TO OBJECT TO TRANSFER~

The alleged transferor of the claim is hereby notified that objections must be filed with the court within twenty-one (21) days of the mailing of this notice. If no objection is timely received by the court, the transferee will be substituted as the original claimant without further order of the court.

Date: \_\_\_\_\_

\_\_\_\_\_  
CLERK OF THE COURT

**EVIDENCE OF TRANSFER OF CLAIM**

TO: Clerk of the Court  
United States Bankruptcy Court  
Southern District of New York ("Bankruptcy Court")  
New York, New York

RE: Lehman Brothers Holdings, Inc. ("Debtor")  
Case No. 08-13555 (JMP)

Claim #: 45942

Nikko Cordial Securities Inc. ("Transferor"), for value received, the adequacy and sufficiency of which are hereby acknowledged, does hereby unconditionally and irrevocably transferred and assign to SMBC Nikko Securities Inc., its successors and assigns ("Transferee"), all rights, title and interest in and to the claim of Transferor in the amount of U.S. \$961,853.08 ("Claim") against the Debtor in the Bankruptcy Court, or any other court with jurisdiction over the bankruptcy proceedings of the Debtor.

Transferor hereby waives any objection to the transfer of the Claim to Transferee on the books and records of the Debtor and the Bankruptcy Court, and hereby waives to the fullest extent permitted by law any notice or right to a hearing as may be imposed by Rule 3001 of the Federal Rules of Bankruptcy Procedure, the Bankruptcy Code, applicable local bankruptcy rules or applicable law. Transferor acknowledges and understands, and hereby stipulates that an order of the Bankruptcy Court may be entered without further notice to Transferor transferring to Transferee the Claim and recognizing the Transferee as the sole owner and holder of the Claim, and that all payments or distributions of money or property in respect of the Claim be delivered or made to Transferee.

You are hereby directed to make all future payments and distributions to Transferee, at SMBC Nikko Securities Inc., 3-1, Marunouchi 3-chome, Chiyoda-ku, Tokyo 100-8325, Japan; and to give all notices and other communications, in respect of the Claim to SMBC Nikko Securities Inc., 3-1, Marunouchi 3-chome, Chiyoda-ku, Tokyo 100-8325, Japan, Telephone number: +81-3-5644-3111, [shinike\\_hideyuki@smbc.nikko.co.jp](mailto:shinike_hideyuki@smbc.nikko.co.jp), and Baker & McKenzie LLP, 1114 Avenue of the Americas, New York, NY 10036, Attn: Ira A. Reid, Tele. No. 212-891-3976, [ira.reid@bakermckenzie.com](mailto:ira.reid@bakermckenzie.com).

IN WITNESS WHEREOF, the undersigned has duly executed this Assignment of Claim by its duly authorized representative dated April 5, 2011.

SMBC Nikko Securities Inc., as Transferee:

By: J. Matsumoto  
Jouji Matsumoto  
General Manager of the Legal Division

Nikko Cordial Securities Inc., as Transferor

By: J. Matsumoto  
Jouji Matsumoto  
General Manager of the Legal Division

B 210A (Form 210A) (12/09)

## UNITED STATES BANKRUPTCY COURT

Southern District of New York

In re Lehman Brothers Holdings, Inc.,

Case No. 08-13555 (JMP)

### TRANSFER OF CLAIM OTHER THAN FOR SECURITY

A CLAIM HAS BEEN FILED IN THIS CASE or deemed filed under 11 U.S.C. § 1111(a). Transferee hereby gives evidence and notice pursuant to Rule 3001(e)(2), Fed. R. Bankr. P., of the transfer, other than for security, of the claim referenced in this evidence and notice.

SMBC Nikko Securities Inc.

Name of Transferee

Name and Address where notices to transferee should be sent:

\*\*SMBC Nikko Securities Inc., 3-1  
Marunouchi 3-chome, Chiyoda-ku, Tokyo  
100-8325 Japan  
Attn: Hideyuki Shinike  
Phone: 81-3-5644-3111  
Last Four Digits of Acct #: \_\_\_\_\_

Name and Address where transferee payments should be sent (if different from above):

SMBC Nikko Securities Inc., 3-1  
Marunouchi 3-chome, Chiyoda-ku, Tokyo 100-8325  
Japan  
Attn: Hideyuki Shinike  
Phone: 81-3-5644-3111  
Last Four Digits of Acct #: \_\_\_\_\_

Nikko Cordial Securities Inc.

Name of Transferor

Court Claim # (if known): 45943

Amount of Claim: \$956,754.85

Date Claim Filed: 10/26/2009

Phone: \_\_\_\_\_

Last Four Digits of Acct. #: \_\_\_\_\_

Name and Address where notices to transferee should be sent:

\*\*Ira A. Reid  
Baker & McKenzie LLP  
1114 Avenue of the Americas  
New York, NY 10036

I declare under penalty of perjury that the information provided in this notice is true and correct to the best of my knowledge and belief.

By: J. Matsumoto  
Transferee/Transferee's Agent

Date: 04/5/2011

Penalty for making a false statement: Fine of up to \$500,000 or imprisonment for up to 5 years, or both. 18 U.S.C. §§ 152 & 3571.

Form 210B (12/09)

## United States Bankruptcy Court

Southern District Of New York

In re Lehman Brothers Holdings, Inc. Case No. 08-13555 (JMP)

### NOTICE OF TRANSFER OF CLAIM OTHER THAN FOR SECURITY

Claim No. 45943 (if known) was filed or deemed filed under 11 U.S.C. § 1111(a) in this case by the alleged transferor. As evidence of the transfer of that claim, the transferee filed a Transfer of Claim Other than for Security in the clerk's office of this court on \_\_\_\_\_ (date).

Nikko Cordial Securities Inc.  
Name of Alleged Transferor

Address of Alleged Transferor:  
Marunouchi 3-chome, Chiyoda-ku  
Tokyo 100-8325, Japan

SMBC Nikko Securities Inc.  
Name of Transferee

Address of Transferee:  
Marunouchi 3-chome, Chiyoda-ku  
Tokyo 100-8325, Japan

#### ~~DEADLINE TO OBJECT TO TRANSFER~~

The alleged transferor of the claim is hereby notified that objections must be filed with the court within twenty-one (21) days of the mailing of this notice. If no objection is timely received by the court, the transferee will be substituted as the original claimant without further order of the court.

Date: \_\_\_\_\_

\_\_\_\_\_  
CLERK OF THE COURT



**EVIDENCE OF TRANSFER OF CLAIM**

TO: Clerk of the Court  
United States Bankruptcy Court  
Southern District of New York ("Bankruptcy Court")  
New York, New York

RE: Lehman Brothers Holdings, Inc. ("Debtor")  
Case No. 08-13555 (JMP)

Claim #: 45943

Nikko Cordial Securities Inc. ("Transferor"), for value received, the adequacy and sufficiency of which are hereby acknowledged, does hereby unconditionally and irrevocably transferred and assign to SMBC Nikko Securities Inc., its successors and assigns ("Transferee"), all rights, title and interest in and to the claim of Transferor in the amount of U.S. \$956,754.85 ("Claim") against the Debtor in the Bankruptcy Court, or any other court with jurisdiction over the bankruptcy proceedings of the Debtor.

Transferor hereby waives any objection to the transfer of the Claim to Transferee on the books and records of the Debtor and the Bankruptcy Court, and hereby waives to the fullest extent permitted by law any notice or right to a hearing as may be imposed by Rule 3001 of the Federal Rules of Bankruptcy Procedure, the Bankruptcy Code, applicable local bankruptcy rules or applicable law. Transferor acknowledges and understands, and hereby stipulates that an order of the Bankruptcy Court may be entered without further notice to Transferor transferring to Transferee the Claim and recognizing the Transferee as the sole owner and holder of the Claim, and that all payments or distributions of money or property in respect of the Claim be delivered or made to Transferee.

You are hereby directed to make all future payments and distributions to Transferee, at SMBC Nikko Securities Inc., 3-1, Marunouchi 3-chome, Chiyoda-ku, Tokyo 100-8325, Japan; and to give all notices and other communications, in respect of the Claim to SMBC Nikko Securities Inc., 3-1, Marunouchi 3-chome, Chiyoda-ku, Tokyo 100-8325, Japan, Telephone number: +81-3-5644-3111, [shinike\\_hideyuki@smbc.nikko.co.jp](mailto:shinike_hideyuki@smbc.nikko.co.jp), and Baker & McKenzie LLP, 1114 Avenue of the Americas, New York, NY 10036, Attn: Ira A. Reid, Tele. No. 212-891-3976, [ira.reid@bakermckenzie.com](mailto:ira.reid@bakermckenzie.com).

IN WITNESS WHEREOF, the undersigned has duly executed this Assignment of Claim by its duly authorized representative dated April 5, 2011.

SMBC Nikko Securities Inc., as Transferee:

By: J. Matsumoto  
Jouji Matsumoto  
General Manager of the Legal Division

Nikko Cordial Securities Inc., as Transferor

By: J. Matsumoto  
Jouji Matsumoto  
General Manager of the Legal Division

B 210A (Form 210A) (12/09)

## UNITED STATES BANKRUPTCY COURT

Southern District of New York

In re Lehman Brothers Holdings, Inc.

Case No. 08-13555 (JMP)

### TRANSFER OF CLAIM OTHER THAN FOR SECURITY

A CLAIM HAS BEEN FILED IN THIS CASE or deemed filed under 11 U.S.C. § 1111(a). Transferee hereby gives evidence and notice pursuant to Rule 3001(e)(2), Fed. R. Bankr. P., of the transfer, other than for security, of the claim referenced in this evidence and notice.

SMBC Nikko Securities Inc.  
Name of Transferee

Name and Address where notices to transferee should be sent:  
\*\*SMBC Nikko Securities Inc., 3-1  
Marunouchi 3-chome, Chiyoda-ku, Tokyo  
100-8325 Japan  
Attn: Hideyuki Shinike  
Phone: 81-3-5644-3111  
Last Four Digits of Acct #: \_\_\_\_\_

Name and Address where transferee payments should be sent (if different from above):  
SMBC Nikko Securities Inc., 3-1  
Marunouchi 3-chome, Chiyoda-ku, Tokyo 100-8325  
Japan  
Attn: Hideyuki Shinike  
Phone: 81-3-5644-3111  
Last Four Digits of Acct #: \_\_\_\_\_

Nikko Cordial Securities Inc.  
Name of Transferor

Court Claim # (if known): 45944  
Amount of Claim: \$961,374.82  
Date Claim Filed: 10/26/2009

Phone: \_\_\_\_\_  
Last Four Digits of Acct. #: \_\_\_\_\_  
Name and Address where notices to transferee should be sent:  
\*\*Ira A. Reid  
Baker & McKenzie LLP  
1114 Avenue of the Americas  
New York, NY 10036

I declare under penalty of perjury that the information provided in this notice is true and correct to the best of my knowledge and belief.

By: J. Matsumoto  
Transferee/Transferee's Agent

Date: 04/5/2011

Penalty for making a false statement: Fine of up to \$500,000 or imprisonment for up to 5 years, or both. 18 U.S.C. §§ 152 & 3571.

Form 210B (12/09)

## United States Bankruptcy Court

Southern District Of New York

In re Lehman Brothers Holdings, Inc., Case No. 08-13555 (JMP)

### NOTICE OF TRANSFER OF CLAIM OTHER THAN FOR SECURITY

Claim No. 45944 (if known) was filed or deemed filed under 11 U.S.C. § 1111(a) in this case by the alleged transferor. As evidence of the transfer of that claim, the transferee filed a Transfer of Claim Other than for Security in the clerk's office of this court on \_\_\_\_\_ (date).

Nikko Cordial Securities Inc.  
Name of Alleged Transferor

Address of Alleged Transferor:  
Marunouchi 3-chome, Chiyoda-ku  
Tokyo 100-8325, Japan

SMBC Nikko Securities Inc.  
Name of Transferee

Address of Transferee:  
Marunouchi 3-chome, Chiyoda-ku  
Tokyo 100-8325, Japan

#### ~DEADLINE TO OBJECT TO TRANSFER~

The alleged transferor of the claim is hereby notified that objections must be filed with the court within twenty-one (21) days of the mailing of this notice. If no objection is timely received by the court, the transferee will be substituted as the original claimant without further order of the court.

Date: \_\_\_\_\_

\_\_\_\_\_  
CLERK OF THE COURT

**EVIDENCE OF TRANSFER OF CLAIM**

TO: Clerk of the Court  
United States Bankruptcy Court  
Southern District of New York ("Bankruptcy Court")  
New York, New York

RE: Lehman Brothers Holdings, Inc. ("Debtor")  
Case No. 08-13555 (JMP)

Claim #: 45944

Nikko Cordial Securities Inc. ("Transferor"), for value received, the adequacy and sufficiency of which are hereby acknowledged, does hereby unconditionally and irrevocably transferred and assign to SMBC Nikko Securities Inc., its successors and assigns ("Transferee"), all rights, title and interest in and to the claim of Transferor in the amount of U.S. \$961,374.82 ("Claim") against the Debtor in the Bankruptcy Court, or any other court with jurisdiction over the bankruptcy proceedings of the Debtor.

Transferor hereby waives any objection to the transfer of the Claim to Transferee on the books and records of the Debtor and the Bankruptcy Court, and hereby waives to the fullest extent permitted by law any notice or right to a hearing as may be imposed by Rule 3001 of the Federal Rules of Bankruptcy Procedure, the Bankruptcy Code, applicable local bankruptcy rules or applicable law. Transferor acknowledges and understands, and hereby stipulates that an order of the Bankruptcy Court may be entered without further notice to Transferor transferring to Transferee the Claim and recognizing the Transferee as the sole owner and holder of the Claim, and that all payments or distributions of money or property in respect of the Claim be delivered or made to Transferee.

You are hereby directed to make all future payments and distributions to Transferee, at SMBC Nikko Securities Inc., 3-1, Marunouchi 3-chome, Chiyoda-ku, Tokyo 100-8325, Japan; and to give all notices and other communications, in respect of the Claim to SMBC Nikko Securities Inc., 3-1, Marunouchi 3-chome, Chiyoda-ku, Tokyo 100-8325, Japan, Telephone number: +81-3-5644-3111, [shinike\\_hideyuki@smbc.nikko.co.jp](mailto:shinike_hideyuki@smbc.nikko.co.jp), and Baker & McKenzie LLP, 1114 Avenue of the Americas, New York, NY 10036, Attn: Ira A. Reid, Tele. No. 212-891-3976, [ira.reid@bakermckenzie.com](mailto:ira.reid@bakermckenzie.com).

IN WITNESS WHEREOF, the undersigned has duly executed this Assignment of Claim by its duly authorized representative dated April 5, 2011.

SMBC Nikko Securities Inc., as Transferee:

By: J. Matsumoto  
Jouji Matsumoto  
General Manager of the Legal Division

Nikko Cordial Securities Inc., as Transferor

By: J. Matsumoto  
Jouji Matsumoto  
General Manager of the Legal Division

B 210A (Form 210A) (12/09)

## UNITED STATES BANKRUPTCY COURT

Southern District of New York

In re Lehman Brothers Holdings, Inc.,

Case No. 08-13555 (JMP)

### TRANSFER OF CLAIM OTHER THAN FOR SECURITY

A CLAIM HAS BEEN FILED IN THIS CASE or deemed filed under 11 U.S.C. § 1111(a). Transferee hereby gives evidence and notice pursuant to Rule 3001(e)(2), Fed. R. Bankr. P., of the transfer, other than for security, of the claim referenced in this evidence and notice.

SMBC Nikko Securities Inc.

Name of Transferee

Name and Address where notices to transferee should be sent:

\*\*SMBC Nikko Securities Inc., 3-1  
Marunouchi 3-chome, Chiyoda-ku, Tokyo  
100-8325 Japan  
Attn: Hideyuki Shinike

Phone: 81-3-5644-3111

Last Four Digits of Acct #: \_\_\_\_\_

Name and Address where transferee payments should be sent (if different from above):

SMBC Nikko Securities Inc., 3-1  
Marunouchi 3-chome, Chiyoda-ku, Tokyo 100-8325  
Japan

Attn: Hideyuki Shinike  
Phone: 81-3-5644-3111

Last Four Digits of Acct #: \_\_\_\_\_

Nikko Cordial Securities Inc.

Name of Transferor

Court Claim # (if known): 45945

Amount of Claim: \$4,258,540.74

Date Claim Filed: 10/26/2009

Phone: \_\_\_\_\_

Last Four Digits of Acct. #: \_\_\_\_\_

Name and Address where notices to transferee should be sent:

\*\*Ira A. Reid  
Baker & McKenzie LLP  
1114 Avenue of the Americas  
New York, NY 10036

I declare under penalty of perjury that the information provided in this notice is true and correct to the best of my knowledge and belief.

By: *O. Matsumoto*  
Transferee/Transferee's Agent

Date: 04/5/2011

Penalty for making a false statement: Fine of up to \$500,000 or imprisonment for up to 5 years, or both. 18 U.S.C. §§ 152 & 3571.

Form 210B (12/09)

## United States Bankruptcy Court

Southern District Of New York

In re Lehman Brothers Holdings, Inc., Case No. 08-13555 (JMP)

### NOTICE OF TRANSFER OF CLAIM OTHER THAN FOR SECURITY

Claim No. 45945 (if known) was filed or deemed filed under 11 U.S.C. § 1111(a) in this case by the alleged transferor. As evidence of the transfer of that claim, the transferee filed a Transfer of Claim Other than for Security in the clerk's office of this court on \_\_\_\_\_ (date).

Nikko Cordial Securities Inc.  
Name of Alleged Transferor

Address of Alleged Transferor:  
Marunouchi 3-chome, Chiyoda-ku  
Tokyo 100-8325, Japan

SMBC Nikko Securities Inc.  
Name of Transferee

Address of Transferee:  
Marunouchi 3-chome, Chiyoda-ku  
Tokyo 100-8325, Japan

#### ~~DEADLINE TO OBJECT TO TRANSFER~~

The alleged transferor of the claim is hereby notified that objections must be filed with the court within twenty-one (21) days of the mailing of this notice. If no objection is timely received by the court, the transferee will be substituted as the original claimant without further order of the court.

Date: \_\_\_\_\_

\_\_\_\_\_  
CLERK OF THE COURT

**EVIDENCE OF TRANSFER OF CLAIM**

TO: Clerk of the Court  
United States Bankruptcy Court  
Southern District of New York ("Bankruptcy Court")  
New York, New York

RE: Lehman Brothers Holdings, Inc. ("Debtor")  
Case No. 08-13555 (JMP)

Claim #: 45945

Nikko Cordial Securities Inc. ("Transferor"), for value received, the adequacy and sufficiency of which are hereby acknowledged, does hereby unconditionally and irrevocably transferred and assign to SMBC Nikko Securities Inc., its successors and assigns ("Transferee"), all rights, title and interest in and to the claim of Transferor in the amount of U.S. \$4,258,540.74 ("Claim") against the Debtor in the Bankruptcy Court, or any other court with jurisdiction over the bankruptcy proceedings of the Debtor.

Transferor hereby waives any objection to the transfer of the Claim to Transferee on the books and records of the Debtor and the Bankruptcy Court, and hereby waives to the fullest extent permitted by law any notice or right to a hearing as may be imposed by Rule 3001 of the Federal Rules of Bankruptcy Procedure, the Bankruptcy Code, applicable local bankruptcy rules or applicable law. Transferor acknowledges and understands, and hereby stipulates that an order of the Bankruptcy Court may be entered without further notice to Transferor transferring to Transferee the Claim and recognizing the Transferee as the sole owner and holder of the Claim, and that all payments or distributions of money or property in respect of the Claim be delivered or made to Transferee.

You are hereby directed to make all future payments and distributions to Transferee, at SMBC Nikko Securities Inc., 3-1, Marunouchi 3-chome, Chiyoda-ku, Tokyo 100-8325, Japan; and to give all notices and other communications, in respect of the Claim to SMBC Nikko Securities Inc., 3-1, Marunouchi 3-chome, Chiyoda-ku, Tokyo 100-8325, Japan, Telephone number: +81-3-5644-3111, [shinike\\_hideyuki@smbc.nikko.co.jp](mailto:shinike_hideyuki@smbc.nikko.co.jp), and Baker & McKenzie LLP, 1114 Avenue of the Americas, New York, NY 10036, Attn: Ira A. Reid, Tele. No. 212-891-3976, [ira.reid@bakermckenzie.com](mailto:ira.reid@bakermckenzie.com).

IN WITNESS WHEREOF, the undersigned has duly executed this Assignment of Claim by its duly authorized representative dated April 5, 2011.

SMBC Nikko Securities Inc., as Transferee:

By: J. Matsumoto  
Jouji Matsumoto  
General Manager of the Legal Division

Nikko Cordial Securities Inc., as Transferor

By: J. Matsumoto  
Jouji Matsumoto  
General Manager of the Legal Division

B 210A (Form 210A) (12/09)

## UNITED STATES BANKRUPTCY COURT

Southern District of New York

In re Lehman Brothers Holdings, Inc.

Case No. 08-13555 (JMP)

### TRANSFER OF CLAIM OTHER THAN FOR SECURITY

A CLAIM HAS BEEN FILED IN THIS CASE or deemed filed under 11 U.S.C. § 1111(a). Transferee hereby gives evidence and notice pursuant to Rule 3001(e)(2), Fed. R. Bankr. P., of the transfer, other than for security, of the claim referenced in this evidence and notice.

SMBC Nikko Securities Inc.

Name of Transferee

Name and Address where notices to transferee should be sent:

\*\*SMBC Nikko Securities Inc., 3-1  
Marunouchi 3-chome, Chiyoda-ku, Tokyo  
100-8325 Japan  
Attn: Hideyuki Shinike  
Phone: 81-3-5644-3111

Last Four Digits of Acct #: \_\_\_\_\_

Name and Address where transferee payments should be sent (if different from above):

SMBC Nikko Securities Inc., 3-1  
Marunouchi 3-chome, Chiyoda-ku, Tokyo 100-8325  
Japan  
Attn: Hideyuki Shinike

Phone: 81-3-5644-3111

Last Four Digits of Acct #: \_\_\_\_\_

Nikko Cordial Securities Inc.

Name of Transferor

Court Claim # (if known): 45946

Amount of Claim: \$3,785,369.52

Date Claim Filed: 10/26/2009

Phone: \_\_\_\_\_

Last Four Digits of Acct. #: \_\_\_\_\_

Name and Address where notices to transferee should be sent:

\*\*Ira A. Reid  
Baker & McKenzie LLP  
1114 Avenue of the Americas  
New York, NY 10036

I declare under penalty of perjury that the information provided in this notice is true and correct to the best of my knowledge and belief.

By: J. Matsumoto  
Transferee/Transferee's Agent

Date: 04/5/2011

Penalty for making a false statement: Fine of up to \$500,000 or imprisonment for up to 5 years, or both. 18 U.S.C. §§ 152 & 3571.



Form 210B (12/09)

## United States Bankruptcy Court

Southern District Of New York

In re Lehman Brothers Holdings, Inc., Case No. 08-13555 (JMP)

### NOTICE OF TRANSFER OF CLAIM OTHER THAN FOR SECURITY

Claim No. 45946 (if known) was filed or deemed filed under 11 U.S.C. § 1111(a) in this case by the alleged transferor. As evidence of the transfer of that claim, the transferee filed a Transfer of Claim Other than for Security in the clerk's office of this court on \_\_\_\_\_ (date).

Nikko Cordial Securities Inc.  
Name of Alleged Transferor

Address of Alleged Transferor:  
Marunouchi 3-chome, Chiyoda-ku  
Tokyo 100-8325, Japan

SMBC Nikko Securities Inc.  
Name of Transferee

Address of Transferee:  
Marunouchi 3-chome, Chiyoda-ku  
Tokyo 100-8325, Japan

#### ~DEADLINE TO OBJECT TO TRANSFER~

The alleged transferor of the claim is hereby notified that objections must be filed with the court within twenty-one (21) days of the mailing of this notice. If no objection is timely received by the court, the transferee will be substituted as the original claimant without further order of the court.

Date: \_\_\_\_\_

\_\_\_\_\_  
CLERK OF THE COURT

**EVIDENCE OF TRANSFER OF CLAIM**

TO: Clerk of the Court  
United States Bankruptcy Court  
Southern District of New York ("Bankruptcy Court")  
New York, New York

RE: Lehman Brothers Holdings, Inc. ("Debtor")  
Case No. 08-13555 (JMP)

Claim #: 45946

Nikko Cordial Securities Inc. ("Transferor"), for value received, the adequacy and sufficiency of which are hereby acknowledged, does hereby unconditionally and irrevocably transferred and assign to SMBC Nikko Securities Inc., its successors and assigns ("Transferee"), all rights, title and interest in and to the claim of Transferor in the amount of U.S. \$3,785,369.52 ("Claim") against the Debtor in the Bankruptcy Court, or any other court with jurisdiction over the bankruptcy proceedings of the Debtor.

Transferor hereby waives any objection to the transfer of the Claim to Transferee on the books and records of the Debtor and the Bankruptcy Court, and hereby waives to the fullest extent permitted by law any notice or right to a hearing as may be imposed by Rule 3001 of the Federal Rules of Bankruptcy Procedure, the Bankruptcy Code, applicable local bankruptcy rules or applicable law. Transferor acknowledges and understands, and hereby stipulates that an order of the Bankruptcy Court may be entered without further notice to Transferor transferring to Transferee the Claim and recognizing the Transferee as the sole owner and holder of the Claim, and that all payments or distributions of money or property in respect of the Claim be delivered or made to Transferee.

You are hereby directed to make all future payments and distributions to Transferee, at SMBC Nikko Securities Inc., 3-1, Marunouchi 3-chome, Chiyoda-ku, Tokyo 100-8325, Japan; and to give all notices and other communications, in respect of the Claim to SMBC Nikko Securities Inc., 3-1, Marunouchi 3-chome, Chiyoda-ku, Tokyo 100-8325, Japan, Telephone number: +81-3-5644-3111, [shinike\\_hideyuki@smbc.nikko.co.jp](mailto:shinike_hideyuki@smbc.nikko.co.jp), and Baker & McKenzie LLP, 1114 Avenue of the Americas, New York, NY 10036, Attn: Ira A. Reid, Tele. No. 212-891-3976, [ira.reid@bakermckenzie.com](mailto:ira.reid@bakermckenzie.com).

IN WITNESS WHEREOF, the undersigned has duly executed this Assignment of Claim by its duly authorized representative dated April 5, 2011.

SMBC Nikko Securities Inc., as Transferee:

By: J. Matsumoto  
Jouji Matsumoto  
General Manager of the Legal Division

Nikko Cordial Securities Inc., as Transferor

By: J. Matsumoto  
Jouji Matsumoto  
General Manager of the Legal Division

B 210A (Form 210A) (12/09)

## UNITED STATES BANKRUPTCY COURT

Southern District of New York

In re Lehman Brothers Holdings, Inc.,

Case No. 08-13555 (JMP)

### TRANSFER OF CLAIM OTHER THAN FOR SECURITY

A CLAIM HAS BEEN FILED IN THIS CASE or deemed filed under 11 U.S.C. § 1111(a). Transferee hereby gives evidence and notice pursuant to Rule 3001(e)(2), Fed. R. Bankr. P., of the transfer, other than for security, of the claim referenced in this evidence and notice.

SMBC Nikko Securities Inc.

Name of Transferee

Name and Address where notices to transferee should be sent:

\*\*SMBC Nikko Securities Inc., 3-1  
Marunouchi 3-chome, Chiyoda-ku, Tokyo  
100-8325 Japan  
Attn: Hideyuki Shinike  
Phone: 81-3-5644-3111

Last Four Digits of Acct #: \_\_\_\_\_

Name and Address where transferee payments should be sent (if different from above):

SMBC Nikko Securities Inc., 3-1  
Marunouchi 3-chome, Chiyoda-ku, Tokyo 100-8325  
Japan  
Attn: Hideyuki Shinike  
Phone: 81-3-5644-3111

Last Four Digits of Acct #: \_\_\_\_\_

Nikko Cordial Securities Inc.

Name of Transferor

Court Claim # (if known): 45947

Amount of Claim: \$821,584.80

Date Claim Filed: 10/26/2009

Phone: \_\_\_\_\_

Last Four Digits of Acct. #: \_\_\_\_\_

Name and Address where notices to transferee should be sent:

\*\*Ira A. Reid  
Baker & McKenzie LLP  
1114 Avenue of the Americas  
New York, NY 10036

I declare under penalty of perjury that the information provided in this notice is true and correct to the best of my knowledge and belief.

By: J. Matsumoto  
Transferee/Transferee's Agent

Date: 04/5/2011

Penalty for making a false statement: Fine of up to \$500,000 or imprisonment for up to 5 years, or both. 18 U.S.C. §§ 152 & 3571.

Form 210B (12/09)

## United States Bankruptcy Court

Southern District Of New York

In re Lehman Brothers Holdings, Inc., Case No. 08-13555 (JMP)

### NOTICE OF TRANSFER OF CLAIM OTHER THAN FOR SECURITY

Claim No. 45947 (if known) was filed or deemed filed under 11 U.S.C. § 1111(a) in this case by the alleged transferor. As evidence of the transfer of that claim, the transferee filed a Transfer of Claim Other than for Security in the clerk's office of this court on \_\_\_\_\_ (date).

Nikko Cordial Securities Inc.  
Name of Alleged Transferor

Address of Alleged Transferor:  
Marunouchi 3-chome, Chiyoda-ku  
Tokyo 100-8325, Japan

SMBC Nikko Securities Inc.  
Name of Transferee

Address of Transferee:  
Marunouchi 3-chome, Chiyoda-ku  
Tokyo 100-8325, Japan

#### ~~DEADLINE TO OBJECT TO TRANSFER~~

The alleged transferor of the claim is hereby notified that objections must be filed with the court within twenty-one (21) days of the mailing of this notice. If no objection is timely received by the court, the transferee will be substituted as the original claimant without further order of the court.

Date: \_\_\_\_\_

\_\_\_\_\_  
CLERK OF THE COURT

**EVIDENCE OF TRANSFER OF CLAIM**

TO: Clerk of the Court  
United States Bankruptcy Court  
Southern District of New York ("Bankruptcy Court")  
New York, New York

RE: Lehman Brothers Holdings, Inc. ("Debtor")  
Case No. 08-13555 (JMP)

Claim #: 45947

Nikko Cordial Securities Inc. ("Transferor"), for value received, the adequacy and sufficiency of which are hereby acknowledged, does hereby unconditionally and irrevocably transferred and assign to SMBC Nikko Securities Inc., its successors and assigns ("Transferee"), all rights, title and interest in and to the claim of Transferor in the amount of U.S. \$821,584.80 ("Claim") against the Debtor in the Bankruptcy Court, or any other court with jurisdiction over the bankruptcy proceedings of the Debtor.

Transferor hereby waives any objection to the transfer of the Claim to Transferee on the books and records of the Debtor and the Bankruptcy Court, and hereby waives to the fullest extent permitted by law any notice or right to a hearing as may be imposed by Rule 3001 of the Federal Rules of Bankruptcy Procedure, the Bankruptcy Code, applicable local bankruptcy rules or applicable law. Transferor acknowledges and understands, and hereby stipulates that an order of the Bankruptcy Court may be entered without further notice to Transferor transferring to Transferee the Claim and recognizing the Transferee as the sole owner and holder of the Claim, and that all payments or distributions of money or property in respect of the Claim be delivered or made to Transferee.

You are hereby directed to make all future payments and distributions to Transferee, at SMBC Nikko Securities Inc., 3-1, Marunouchi 3-chome, Chiyoda-ku, Tokyo 100-8325, Japan; and to give all notices and other communications, in respect of the Claim to SMBC Nikko Securities Inc., 3-1, Marunouchi 3-chome, Chiyoda-ku, Tokyo 100-8325, Japan, Telephone number: +81-3-5644-3111, [shinike\\_hideyuki@smbc.nikko.co.jp](mailto:shinike_hideyuki@smbc.nikko.co.jp), and Baker & McKenzie LLP, 1114 Avenue of the Americas, New York, NY 10036, Attn: Ira A. Reid, Tele. No. 212-891-3976, [ira.reid@bakermckenzie.com](mailto:ira.reid@bakermckenzie.com).

IN WITNESS WHEREOF, the undersigned has duly executed this Assignment of Claim by its duly authorized representative dated April 5, 2011.

SMBC Nikko Securities Inc., as Transferee:

By: J. Matsumoto  
Jouji Matsumoto  
General Manager of the Legal Division

Nikko Cordial Securities Inc., as Transferor

By: J. Matsumoto  
Jouji Matsumoto  
General Manager of the Legal Division

B 210A (Form 210A) (12/09)

## UNITED STATES BANKRUPTCY COURT

Southern District of New York

In re Lehman Brothers Holdings, Inc.,

Case No. 08-13555 (JMP)

### TRANSFER OF CLAIM OTHER THAN FOR SECURITY

A CLAIM HAS BEEN FILED IN THIS CASE or deemed filed under 11 U.S.C. § 1111(a). Transferee hereby gives evidence and notice pursuant to Rule 3001(e)(2), Fed. R. Bankr. P., of the transfer, other than for security, of the claim referenced in this evidence and notice.

SMBC Nikko Securities Inc.

Name of Transferee

Name and Address where notices to transferee should be sent:

\*\*SMBC Nikko Securities Inc., 3-1  
Marunouchi 3-chome, Chiyoda-ku, Tokyo  
100-8325 Japan  
Attn: Hideyuki Shinike

Phone: 81-3-5644-3111

Last Four Digits of Acct #: \_\_\_\_\_

Name and Address where transferee payments should be sent (if different from above):

SMBC Nikko Securities Inc., 3-1  
Marunouchi 3-chome, Chiyoda-ku, Tokyo 100-8325  
Japan

Attn: Hideyuki Shinike

Phone: 81-3-5644-3111

Last Four Digits of Acct #: \_\_\_\_\_

Nikko Cordial Securities Inc.

Name of Transferor

Court Claim # (if known): 45948

Amount of Claim: \$1,514,147.81

Date Claim Filed: 10/26/2009

Phone: \_\_\_\_\_

Last Four Digits of Acct. #: \_\_\_\_\_

Name and Address where notices to transferee should be sent:

\*\*Ira A. Reid  
Baker & McKenzie LLP  
1114 Avenue of the Americas  
New York, NY 10036

I declare under penalty of perjury that the information provided in this notice is true and correct to the best of my knowledge and belief.

By: *J. Matsumoto*  
Transferee/Transferee's Agent

Date: 04/5/2011

Penalty for making a false statement: Fine of up to \$500,000 or imprisonment for up to 5 years, or both. 18 U.S.C. §§ 152 & 3571.

Form 210B (12/09)

## United States Bankruptcy Court

Southern District Of New York

In re Lehman Brothers Holdings, Inc., Case No. 08-13555 (JMP)

### NOTICE OF TRANSFER OF CLAIM OTHER THAN FOR SECURITY

Claim No. 45948 (if known) was filed or deemed filed under 11 U.S.C. § 1111(a) in this case by the alleged transferor. As evidence of the transfer of that claim, the transferee filed a Transfer of Claim Other than for Security in the clerk's office of this court on \_\_\_\_\_ (date).

Nikko Cordial Securities Inc.  
Name of Alleged Transferor

Address of Alleged Transferor:  
Marunouchi 3-chome, Chiyoda-ku  
Tokyo 100-8325, Japan

SMBC Nikko Securities Inc.  
Name of Transferee

Address of Transferee:  
Marunouchi 3-chome, Chiyoda-ku  
Tokyo 100-8325, Japan

#### ~~DEADLINE TO OBJECT TO TRANSFER~~

The alleged transferor of the claim is hereby notified that objections must be filed with the court within twenty-one (21) days of the mailing of this notice. If no objection is timely received by the court, the transferee will be substituted as the original claimant without further order of the court.

Date: \_\_\_\_\_

\_\_\_\_\_  
CLERK OF THE COURT

**EVIDENCE OF TRANSFER OF CLAIM**

TO: Clerk of the Court  
United States Bankruptcy Court  
Southern District of New York ("Bankruptcy Court")  
New York, New York

RE: Lehman Brothers Holdings, Inc. ("Debtor")  
Case No. 08-13555 (JMP)

Claim #: 45948

Nikko Cordial Securities Inc. ("Transferor"), for value received, the adequacy and sufficiency of which are hereby acknowledged, does hereby unconditionally and irrevocably transferred and assign to SMBC Nikko Securities Inc., its successors and assigns ("Transferee"), all rights, title and interest in and to the claim of Transferor in the amount of U.S. \$1,514,147.81 ("Claim") against the Debtor in the Bankruptcy Court, or any other court with jurisdiction over the bankruptcy proceedings of the Debtor.

Transferor hereby waives any objection to the transfer of the Claim to Transferee on the books and records of the Debtor and the Bankruptcy Court, and hereby waives to the fullest extent permitted by law any notice or right to a hearing as may be imposed by Rule 3001 of the Federal Rules of Bankruptcy Procedure, the Bankruptcy Code, applicable local bankruptcy rules or applicable law. Transferor acknowledges and understands, and hereby stipulates that an order of the Bankruptcy Court may be entered without further notice to Transferor transferring to Transferee the Claim and recognizing the Transferee as the sole owner and holder of the Claim, and that all payments or distributions of money or property in respect of the Claim be delivered or made to Transferee.

You are hereby directed to make all future payments and distributions to Transferee, at SMBC Nikko Securities Inc., 3-1, Marunouchi 3-chome, Chiyoda-ku, Tokyo 100-8325, Japan; and to give all notices and other communications, in respect of the Claim to SMBC Nikko Securities Inc., 3-1, Marunouchi 3-chome, Chiyoda-ku, Tokyo 100-8325, Japan, Telephone number: +81-3-5644-3111, [shinike\\_hideyuki@smbc.nikko.co.jp](mailto:shinike_hideyuki@smbc.nikko.co.jp), and Baker & McKenzie LLP, 1114 Avenue of the Americas, New York, NY 10036, Attn: Ira A. Reid, Tele. No. 212-891-3976, [ira.reid@bakermckenzie.com](mailto:ira.reid@bakermckenzie.com).

IN WITNESS WHEREOF, the undersigned has duly executed this Assignment of Claim by its duly authorized representative dated April 5, 2011.

SMBC Nikko Securities Inc., as Transferee:

By: J. Matsumoto  
Jouji Matsumoto  
General Manager of the Legal Division

Nikko Cordial Securities Inc., as Transferor

By: J. Matsumoto  
Jouji Matsumoto  
General Manager of the Legal Division